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| 10/643,074      | 08/19/2003  | Robert L. Alcom      | 114049.130(US1)     | 3054             |

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04/19/2007

EXAMINER

QIAN, SONGWEI

ART UNIT

PAPER NUMBER

2109

| SHORTENED STATUTORY PERIOD OF RESPONSE | MAIL DATE  | DELIVERY MODE |
|--|------------|---------------|
| 3 MONTHS                               | 04/19/2007 | PAPER         |

**Please find below and/or attached an Office communication concerning this application or proceeding.**

If NO period for reply is specified above, the maximum statutory period will apply and will expire 6 MONTHS from the mailing date of this communication.

## Office Action Summary

Application No.

10/643,074

Applicant(s)

ALCORN ET AL.

Examiner

Songwei Qian

Art Unit

2109

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --

### Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

### Status

- 1) ☒ Responsive to communication(s) filed on 19 August 2003.
- 2a) ☐ This action is **FINAL**. 2b) ☒ This action is non-final.
- 3) ☐ Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

### Disposition of Claims

- 4) ☒ Claim(s) 1-6 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) ☐ Claim(s) \_\_\_\_\_ is/are allowed.
- 6) ☒ Claim(s) 1-6 is/are rejected.
- 7) ☐ Claim(s) \_\_\_\_\_ is/are objected to.
- 8) ☐ Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

### Application Papers

- 9) ☐ The specification is objected to by the Examiner.
- 10) ☐ The drawing(s) filed on \_\_\_\_\_ is/are: a) ☐ accepted or b) ☐ objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) ☐ The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

### Priority under 35 U.S.C. § 119

- 12) ☐ Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) ☐ All b) ☐ Some \* c) ☐ None of:
- ☐ Certified copies of the priority documents have been received.
  - ☐ Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  - ☐ Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

### Attachment(s)

- 1) ☒ Notice of References Cited (PTO-892)
- 2) ☐ Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) ☒ Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date 09/02/2005.
- 4) ☐ Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_.
- 5) ☐ Notice of Informal Patent Application
- 6) ☐ Other: \_\_\_\_\_.

***DETAILED ACTION***

1. Claims 1-6 are pending in this application.

***Information Disclosure Statement***

2. The information disclosure statement filed on September 2, 2005 fails to comply with the provisions of 37 CFR 1.97, 1.98 and MPEP § 609 because two pages (in PTO-892) filed as part of IDS are improper for IDS and two pages in (Form PTO-820) filed as part of IDS are for a different application (09/608,208). It has been placed in the application file, but the information referred to therein has not been considered as to the merits. Applicant is advised that the date of any re-submission of any item of information contained in this information disclosure statement or the submission of any missing element(s) will be the date of submission for purposes of determining compliance with the requirements based on the time of filing the statement, including all certification requirements for statements under 37 CFR 1.97(e). See MPEP § 609.05(a).

***Claim Objections***

3. The following claims are objected to for lack of antecedent basis:
  - a.) "the user", claim 1, lines 10-11;

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- b.) "the roles", claim 2, line 2;
- c.) "the roles", claim 4, line 1;
- d.) "the user", claim 5, line 2.

***Claim Rejections - 35 USC § 102***

1. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(b) the invention was patented or described in a printed publication in this or a foreign country or in public use or on sale in this country, more than one year prior to the date of application for patent in the United States.

2. Claims 1-6 are rejected under 35 U.S.C. 102(b) as being anticipated by Heller et al. (Philip Heller and Simon Roberts, "JAVA 2 Developer's Handbook", SYBEX, September 1998), hereinafter Heller.

3. As for claim 1, Heller discloses:

A method for providing an extensible software architecture that facilitates providing additional end-user system functionality, comprising the steps of:

installing (Copy, Page 883, Line 24) on a system (a Windows system, Page 883, Lines 26-27) a file (the archive called Smart.jar, Page 883, Line 24) compatible with a known system application program interface (API) (JAVA API, Page 6, Line 17),

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wherein the installed file utilizes the known API to provide a modified user interface (GUI, Page 96, Line 12) to one or more users of the system;

invoking (provides) an enhanced system functionality (SmartCard, Page 878, Line 26, and a smart card that provides management of keys, certificates, and medical records, Page 878, Lines 23-24) by using the modified user interface (GUI, Page 96, Line 12);

specifying in the file one or more roles (SmartCardPermission.java contains the Permission subclass, Page 878, Line 27; note that SmartCardPermission.java is used to represent permission (Page 863, Lines 29-30) and SmartCardPermission.java is a member file inside Smart.jar) that can utilize the enhanced functionality (access to SmartCard, Page 878, Line 28);

determining if the user has rights (the permissions related to—typically, either a single person or a group, Page 888, Lines 11-12) to utilize the enhanced functionality (access to SmartCard, Page 878, Line 28) (identity of the user that determines if a particular operation (access to SmartCard) is permitted, Page 887, Lines 6-7); and if the user has rights, granting access to the enhanced functionality (access to SmartCard, Page 878, Line 28).

4. As for claim 2, Heller discloses:

The method according to claim 1, further comprising the step of writing (loading) the roles (permissions) into a system data repository (a database of permissions, Page 864, Line 8) (permissions are loaded into the policy from a file called .java.policy, Page

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864, Lines 33-34 and the database that contains the Permission objects, which is known as the policy, Page 864, Lines 27-28).

5. As for claim 3, Heller discloses:

the functionality (SmartCard, Page 878, Line 26) is provided (is implemented) by at least one of a hyperlink and icon (an icon) (An icon is an instance of a class that implements the Icon interface, Page 715, Lines 3-4).

6. As for claim 4, Heller discloses:

the roles (permissions) comprise at least one of user administrator, course administrator, system support, observer, support, portal administrator, system administrator, instructor and teacher's assistant (read keys, write a key, write a certificate, read a certificate, read medical notes, and read emergency notes, Page 882, Lines 18-23).

7. As for claim 5, Heller discloses:

The method according to claim 1, further comprising the step of denying access (control access) to the enhanced functionality (SmartCard) if the user does not have access rights (SmartCardPermission.java contains the Permission subclass that is used to control access to SmartCard, Page 878, Lines 27-28).

8. As for claim 6, Heller discloses:

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the file (the archive called Smart.jar, Page 883, Line 28) is installed (Copy, Page 883, Line 24) on the system (a Windows system, Page 883, Line 26) by using a Java archive file (the archive called Smart.jar, Page 883, Line 28).


### **Conclusion**

Any inquiry concerning this communication or earlier communications from the examiner should be directed to Songwei Qian whose telephone number is 571-270-1910. The examiner can normally be reached on M-F (alternative Friday off 8:00am thru 5:00pm).

If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Nabil El-Hady can be reached on 571-272-3963. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free). If you would like assistance from a USPTO Customer Service Representative or access to the automated information system, call 800-786-9199 (IN USA OR CANADA) or 571-272-1000.

SE 3/22/2007

  
NABIL M. EL-HADY  
SUPERVISORY PATENT EXAMINER